



61P.-2161
#5
BT
11-07-01

Please type a plus sign (+) inside this box → +

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

09/780,964

Filing Date

02/09/01

First Named Inventor

Gregory D'Amico et al.

Group Art Unit

2161

Examiner Name

Nga B. Nguyen

Attorney Docket Number

14104/198998

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawings(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Michael K. Dixon, Reg. No. 46,665 KILPATRICK STOCKTON LLP
Signature	
Date	08/30/01

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 08/30/01

Typed or printed name	Janie Wilkins
Signature	
Date	08/30/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: D'Amico et al.

SERIAL NO.: 09/780,964

ART UNIT: 2161

RECEIVED

FILED: February 9, 2001

EXAMINER: Nga B. Nguyen

SEP 07 2001

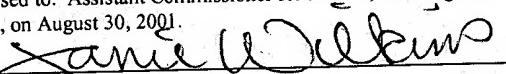
Group 2100

FOR: PARTICIPANT CONTROLLED MUTUAL FUND

ATTORNEY DOCKET NO.: 14104/198998

Assistant Commissioner for Patents
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the
United States Postal Service as certified first class mail in an envelope
addressed to: Assistant Commissioner for Patents, Washington, D.C.
20231, on August 30, 2001.


DATE: August 30, 2001

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

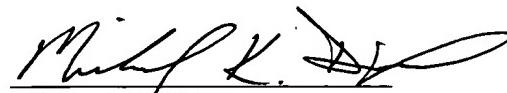
In accordance with Rules 56, 97 and 98 of the Rules of Practice in Patent Cases (37 C.F.R. §§1.56, 1.97 and 1.98), enclosed are copies of the materials listed on the accompanying Form PTO 1449 for consideration by the Examiner. None of these references is conceded to be prior art within the meaning of U.S. patent laws.

This Information Disclosure Statement is being filed before mailing of a first office action on the merits of the application (37 C.F.R. §1.97(b)(3)); therefore, no fee is believed to be due. However, if a first Office Action on the merits has issued, please consider this Information Disclosure Statement under 37 C.F.R. 1.97(c). The Commissioner

Serial No.: 09/780,964
Filed: February 9, 2001
Supplemental Information Disclosure Statement

is authorized to charge any additional fees that may be due in connection with the filing of this paper or credit any overpayment to deposit account 11-0855.

Respectfully submitted,

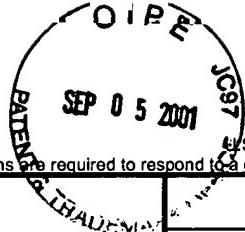


Michael K. Dixon
Registration No. 46,665

KILPATRICK STOCKTON LLP
1100 Peachtree Street, Suite 2800
Atlanta, Georgia 30309-4530
Receptionist (404) 815-6500
Direct (404) 815-6619

RECEIVED
SEP 07 2001
Group 2100

Please type a plus sign (+) inside this box → +



PTO/SB/08A (08-00)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		<i>REDACTED</i>	Complaint if Known
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		(use as many sheets as necessary)	
Sheet	1	of	1
		Application Number	09/780,964
		Filing Date	02/09/01
		First Named Inventor	Gregory D'Amico et al.
		Group Art Unit	2161
		Examiner Name	Nga B. Nguyen
		Attorney Docket Number	14104/198998

U.S. PATENT DOCUMENTS

RECEIVED
SEP 07 2001
Group 2100

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box

A circular stamp with the word "PATENT" on the left side, the date "SEP 05 2001" in the center, and "JC97" on the right side. At the bottom of the circle, the letters "USPTO" are partially visible.

PTO/SB/08B (08-00)
Approved for use through 10/31/2002. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO		<i>REDACTED</i>		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	09/780,964
				Filing Date	02/09/01
				First Named Inventor	Gregory D'Amico et al.
				Group Art Unit	2161
				Examiner Name	Nga B. Nguyen
(use as many sheets as necessary)				Attorney Docket Number	14104/198998
Sheet	2	of	2		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.